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ABSTRACT

This document contains validated activities and competencies needed by information professionals working as records and information managers. The activities of information professionals are listed by function: records and information program management; systems analysis; records center administration; general administration; planning; financial management; policies and procedures; activities management; systems analysis and design; facilities, equipment and supplies, and contract services; personnel management and staff development; communications; marketing and public relations; and research and development. The competencies are grouped under the categories of Knowledge, Skills, and Attitudes, and three professional levels are dealt with: entry level (0-3 years experience), mid-level (4-9 years experience), and senior level (10 or more years experience). (THC)

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NEW DIRECTIONS IN LIBRARY AND INFORMATION SCIENCE EDUCATION
FINAL REPORT
VOLUME 2.8
RECORDS AND INFORMATION MANAGER COMPETENCIES

1984

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VOLUME TWO: SPECIFIC COMPETENCIES

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INTRODUCTION

This document contains validated activities and competencies needed by information professionals working as records and information managers. The following operational definition of competency was developed:

> **A competency is a generic knowledge, skill or attitude of a person that is causally related to effective behavior as demonstrated through external performance criteria, where:**
>
> - **Knowledge is having information about, knowing, understanding, being acquainted with, being aware of, having experience of, or being familiar with something, someone, or how to do something.**
> - **Skill is the ability to use one's knowledge effectively.**
> - **Attitude is a mental or emotional approach to something, or someone.**

We have identified several types of knowledge that are necessary to perform information work satisfactorily as follows:

- Basic knowledge in such areas as language, communication, arithmetic operations, etc.
- Subject knowledge of primary subject fields of users served such as medicine, chemistry, law, etc.
- Library and information work environments such as the information community, its participants and their social, economic and technical interrelationships, etc.
- Knowledge of what work is done such as the activities required to provide services and produce products, etc.
- Knowledge of the organization or user community served such as the mission, goals, and objectives of the user or the organization, user's information needs and requirements, etc.

There appear to be three kinds of skills necessary to perform information work satisfactorily including:

- Basic skills such as cognitive, communication, analytical, etc.
- Skills related to each specific activity being performed such as negotiation of reference questions, evaluation of search outputs, etc.
- Other skills such as managing time effectively, budgeting and making projections, etc.

Attitudes of information professionals are found to be extremely important to work performance. We have found it useful to subdivide attitudes into:

- Dispositional attitudes toward one's profession, the organization served, one's work organization, and other people such as users and co-workers.
- Personality traits/qualities such as confidence, inquisitiveness, sense of ethics, flexibility, etc.
- Attitudes related to job/work/organization such as willingness to accept responsibility, willingness to learn, desire to grow, etc.

The activities and competencies are organized according to the functions which information professionals perform, and by professional level as displayed in Figure 1. The competencies are cumulative across professional level, i.e., competencies of mid-level professionals include entries shown at the mid-level as well as those at the entry level, etc.

It is important to understand the distinction between functions performed and positions or job titles. Our rationale behind the functional approach was that we were more concerned with what information professionals do than with what they are called. In a single-person unit, therefore, the information professional will undoubtedly perform more than a single function. In using and interpreting the competency data in this document, it is important to consider the functions being performed by

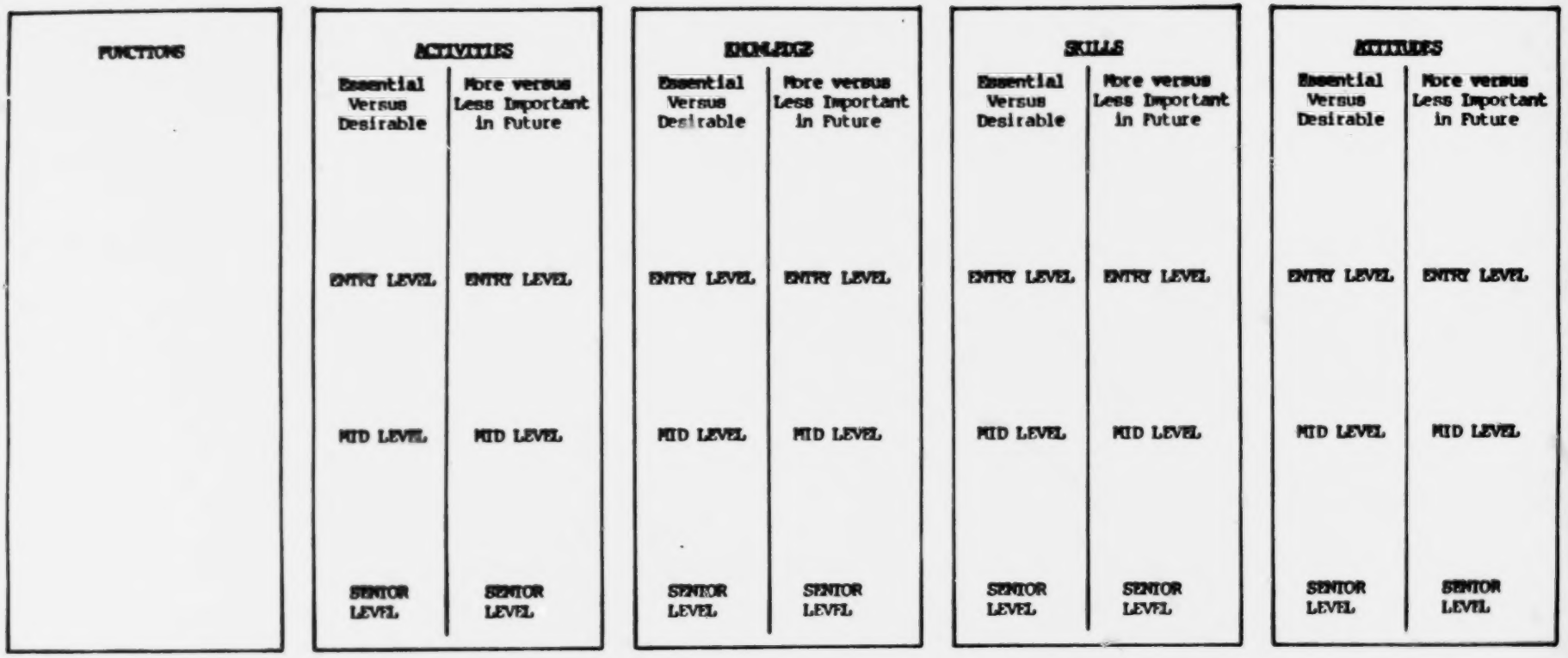

Figure 1 Organization of Activities and Competencies

professionals and the activities being performed to determine which competencies are appropriate. The functions were not broken down into separate listings for professionals working as records and information managers.

Three professional levels were defined as follows:

- entry level (up to 3 years of professional experience)
- mid level (4-9 years of professional experience)
- senior level (10 or more years of professional experience).

The activities performed are listed first and numbered sequentially. The actual assignment of individual activities to subcategories of the major activities and to the functions varies from one worksetting to another. The organization of activities that we developed provided us with the "best fit" case. Indented and unnumbered activities are essentially paraprofessional activities which, in small organizations, may be performed by professionals.

RECORDS AND INFORMATION MANAGER COMPETENCIES

ACTIVITIES

RECORDS AND INFORMATION MANAGER — ENTRY LEVEL

Records and Information Program

1. Supervise paraprofessional staff who may:

   supervise the daily operation and maintenance of the records and information systems; includes creation, receipt, storage, retrieval, and disposition of materials/information which may be hard copy, microform, or in computer readable files
   administer the vital records program according to established procedures
   perform various management functions required to support the operation of the records and information systems
   supervise records and information clerks who:

      sort and classify incoming materials
      file/input materials
      retrieve requested records and information for users
      charge-out materials to users
      maintain accurate charge-out records
      follow-up on charged materials, as required
      perform special data gathering projects, as requested
      compile statistics, as requested
      process material for inactive storage or destruction based on retention schedule guidelines
      maintain security of records and files
      work with staff of the Records Center and other record areas to maintain standardized records procedures

2. Supervise the Records Center clerks who:

   receive and store materials for inactive storage according to dstablished retention schedules
   retrieve requested records and information for users
   charge-out materials to users
   maintain accurate charge-out records
   follow-up on charged materials, as required
   maintain security of records and files

RECORDS AND INFORMATION MANAGER — ENTRY LEVEL

Records and Information Program (cont'd)

3. Supervise records and information technicians who:

   establish and maintain specialized record systems to conform to standards of the existing system
   classify and index records and information according to established schedules
   perform special data gathering projects, as requested
   prepare reports, as requested
   participate in generating or updating records inventories and retention schedules
   participate in systems analyses of specialized areas

4. Participate in the design of manual and/or automated records and information systems

5. Keep abreast of new technologies related to records and information management: computer assisted retrieval (CAR), computer systems, networking, telecommunications, etc.

6. Keep abreast of developments in the parent organization, the information field, records management techniques, and legislation that affect the Records and Information Management program

7. Participate actively in professional associations and encourage staff to do likewise

8. Identify problem areas related to the program's activities/objectives and, if possible, suggest ways to overcome the identified problems

Other Activities

9. Train and supervise appropriate staff

10. Conduct meetings with staff supervised

11. Prepare or review/modify draft job descriptions for self and for staff supervised

12. Develop draft performance standards for self and for staff supervised

13. Prepare draft performance evaluations for staff supervised

14. Conduct conferences with staff supervised to discuss performance evaluations and other matters as appropriate

ACTIVITIES

RECORDS AND INFORMATION MANAGER — ENTRY LEVEL

Other Activities (cont'd)

15. Suggest ways in which staff may improve performance and/or become eligible for promotion

16. Participate in interviewing and selecting candidates for vacant positions, as appropriate

17. Work to develop "esprit de corps" among staff

RECORDS AND INFORMATION MANAGER — MID/SENIOR LEVEL

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18. Direct the daily operation of the organization-wide Records and Information Management program

19. Keep abreast of laws affecting records and information management

20. Perform various management functions related to the daily operation of the Records and Information Management program

Records and Information Systems Analysis

21. Work with users to define their information and recordkeeping needs

22. Review and evaluate existing and potential methods/systems of records and information control; make recommendations for changes/improvements in current methods/systems

23. Develop record rentention schedules based on an analysis, categorization, and classification of record series

24. Review inventories of records and equipment

25. Assess equipment and space needs

26. Meet with vendors to discuss new equipment/systems

27. Participate in the establishment of a vital records protection program

28. Perform special analyses in the areas of forms management, micrographics, copy management, word processing, mail management, office automation, etc.

ACTIVITIES

RECORDS AND INFORMATION MANAGER — MID/SENIOR LEVEL

Records Center Administration

29. Supervise the daily operation and maintenance of the Records Center (includes receipt, storage, retrieval, and disposition of materials)
30. Administer the vital records program according to established procedures

31. Perform various management functions required to support the operation of the Records Center

General Administration

32. Work with senior organizational administrators to formulate and/or interpret objectives of the Records and Information Management program

33. Supervise the preparation of written objectives of the Records and Information Management program

34. Coordinate Records and Information Management program objectives with those of other information-related programs within the organization

35. Evaluate current activities in terms of the program's objectives

36. Identify required statistics and reports

37. Prepare final version of the program's annual reports, other reports, and memos to senior organizational staff

38. Supervise clerical staff who directly support the Records and Information Manager

Planning

39. Maintain an awareness of the current and planned information and service needs of the parent organization

40. Assess future needs and develop long-range plans for the Records and Information Management program

41. Recommend new activities/systems when appropriate

Financial Management

42. Supervise the preparation of operating and capital budgets, both short- and long-term

43. Justify the program's budgets to organizational administrators

ACTIVITIES

RECORDS AND INFORMATION MANAGER — MID/SENIOR LEVEL

Financial Management (cont'd)

44. Supervise expenditure control and operation within the budgets

45. Establish financial policies and procedures in keeping with the organization's overall financial operations

46. Supervise the establishment of costs for information storage and retrieval services, if appropriate

47. Supervise charging organizational units for services, if appropriate

48. Provide expertise and guidance to organizational units in controlling their costs associated with information storage and retrieval

49. Supervise the determination of the cost of in-house versus contract processing and services, as appropriate

Policies and Procedures

50. Work with senior staff of the Records and Information Management program to develop policies for each of the operational areas in the program

51. Present policies to organizational administrators for concurrence

52. Supervise the monitoring of established policies and guidelines (includes ensuring adherence to legal requirements which affect retention, dissemination, access, and storage of information maintained by the organization)

53. Supervise the revision of policies and guidelines as required

54. Review and approve/modify procedures recommended by staff of each of the operational areas in the program

Management of Activities

55. Supervise overall operation of the Records and Information Management program

56. Coordinate the activities of the various operational areas in the program

57. Supervise the establishment of work schedules to ensure adequate staffing in each of the operational areas in the program

RECORDS AND INFORMATION MANAGER — MID/SENIOR LEVEL

Management of Activities (cont'd)

58. Supervise the maintenance of adequate production levels, production deadlines and quality control

59. Identify activities which could be curtailed if staff reduction and/or budget cuts were required

Systems Analysis and Design

60. Supervise the on-going systems analysis of Records and Information Management program activities

61. Review and approve/modify file/system design data for program files/systems as recommended by staff

62. Supervise efforts of mid-level staff to resolve problems with operation of automated systems, if applicable

Facilities, Equipment and Supplies, and Contract Services

63. Select and justify locations of new facilities and collections

64. Work with architects, interior designers and senior staff to plan the overall design and layout for new facilities and/or the rearrangement of existing facilities

65. Supervise selection of furnishings for program facilities

66. Supervise maintenance of facilities as required

67. Work with senior staff to plan, design, and monitor a records/information security and preservation program

68. Review and approve/modify staff recommendations for acquisition of equipment, forms, supplies and systems, within limits of authority. Confer with vendors, as required

69. Justify acquisition of selected equipment/items to organizational administrators, as required

70. Supervise purchase of approved items through appropriate channels

71. Supervise maintenance of inventory listings of records, equipment, and furnishings in the Records and Information Management program

72. Review and approve/modify major contract documentation, as appropriate

RECORDS AND INFORMATION MANAGER — MID/SENIOR LEVEL

Facilities, Equipment and Supplies, and Contract Services (cont'd)

73. Supervise in-house management of contract activity which supports the program

74. Supervise the evaluation of contractors' performance

Personnel Management and Staff Development

75. Supervise staff review of staffing and work loads to ensure that employees are properly utilized

76. Review and approve/modify job descriptions for staff of Records and Information Management program and for staff in the program manager's office

77. Request and justify new positions, as required

78. Supervise staff recruitment after staffing requests are approved

79. Interview and select candidates for staff positions and for program manager's staff

80. Ensure that new staff receive proper orientation and on-the-job training

81. Approve/modify performance standards as developed by staff

82. Review and approve/modify draft performance evaluations for staff of the Records and Information Management program

83. Approve organization-funded training for staff

84. Review/prepare documentation for awards, grievance actions, separations, etc.

85. Present awards

Personnel Management and Staff Development (cont'd)

86. Discipline staff as required

87. Conduct exit interviews with staff, as appropriate

88. Approve leave and vacation schedules for staff

RECORDS AND INFORMATION MANAGER — MID/SENIOR LEVEL

Communications

89. Attend staff meetings of senior organization staff as the representative of the Records and Information Management program

90. Ensure that communication is maintained within the Records and Information Management program so that staff will know what is happening in the program, in other information-related programs in the organization, in the parent organization itself, and in the information world in general

91. Establish and maintain good working relationships within the Records and Information Management program, with managers of the organization's other information-related programs, and with other organization staff, as appropriate

92. Make preliminary arrangements for cooperative efforts with other information-related programs in the organization

93. Represent the Records and Information Management program or designate representative(s) for joint projects with other information-related programs in the organization

Marketing and Public Relations

94. Market the Records and Information Management program and its services to higher level administrators

95. Supervise the marketing of the Records and Information Management program and its services to the user community

96. Establish and maintain good working relationships with other organizations which provide support/services for the Records and Information Management program

97. Communicate with these other organizations regarding any difficulties associated with the provision of support/services

98. Receive official visitors to the Records and Information Management program

99. Supervise arrangements for overviews/tours of the Records and Information Management program

RECORDS AND INFORMATION MANAGER — MID/SENIOR LEVEL

Marketing and Public Relations (cont'd)

100. Supervise the coordination of production of publications/information products by the Records and Information Management program

101. Ensure that documents describing the Records and Information Management Program and its policies and procedures are up-to-date

102. Approve/modify recommended arrangements for advertisement, publication, and distribution of documents/information products produced by the Records and Information Management program

Research and Development

103. Review problem areas related to the program's activities/objectives which require further study

104. Review, approve/modify in-house or contract studies of the problem areas

105. Review and approve/modify evaluations by staff of studies' recommendations

106. Approve and supervise implementation of new programs/procedures as appropriate

KNOWLEDGE

RECORDS & INFORMATION MANAGER — ENTRY LEVEL

Basic knowledge

knowledge related to literacy, numeracy, communications, etc.

Subject knowledge

knowledge of the primary subject field of users served (e.g. medicine, chemistry, law, etc.)
knowledge of the terminology and jargon of the subject field
knowledge of foreign languages

Information Science Knowledge (Generic)

knowledge of definition, structure, and formats of information
knowledge of alternative approaches to the organization of information
knowledge of alternative approaches to retrieval of management information
knowledge of alternative approaches to information management
knowledge of available and emerging information technologies and their applications
knowledge of completed and ongoing research in the field and its applicability to practice
knowledge of career opportunities
knowledge of how to learn on an ongoing basis

Knowledge about information work environments

knowledge of the expanding information community, its participants and their interrelationships (social, economic, technical, etc.)
knowledge of the variety of work settings and their organizational structures
knowledge of the functions performed within the various work settings and the services and products offered
knowledge of the users of the services and products, their characteristics and information habits

Knowledge of what work is done

knowledge of the records and information management function, the range of services and products offered (both actual and potential)
knowledge of the activities that are required to offer the services and produce the products
knowledge of the various resources that are necessary to support the activities

RECORDS & INFORMATION MANAGER — ENTRY LEVEL

Knowledge of what work is done (cont'd)

- knowledge of records and information management tools and sources of information
- knowledge of records and information management methods and techniques
- knowledge of management methods and techniques
- knowledge of performance expected and how it can be measured
- knowledge of job responsibilities and working conditions (e.g., range of duties, probable compensation, benefits, etc.)

Knowledge of how to do work

- knowledge of how to perform the various activities
- knowledge of how to use the records and information management tools and sources of management information
- knowledge of how to apply records and information management methods and techniques
- knowledge of how to apply general management methods and techniques
- knowledge of personnel procedures

Knowledge of the organization served and its information management program

- knowledge of the mission, goals and objectives of the organization served
- knowledge of the structure of the organization and the role of the records and information management program within the overall information program of the organization
- knowledge of the policies and procedures relevant to the records and information management program
- knowledge of the various resources available within the records and information management program (e.g. personnel, equipment, systems, etc.)
- knowledge of the users' information needs and requirements
- knowledge of the records and information collection and related collections

RECORDS & INFORMATION MANAGER — MID/SENIOR LEVEL

greater depths of knowledge specified above
knowledge of the legal, fiscal, administrative, and/or historical reasons for retaining records
knowledge of available vendor-supplied systems, services and products to support records and information management
knowledge of facilities management operations: building codes, fire and other emergency procedures, safety regulations, etc.
knowledge of the contracting process, both in general and within the organization
knowledge of evaulation methods and techniques to evaluate systems, services and products
knowledge of public relations techniques
knowledge of statistical description, analysis, interpretation and presentation
knowledge of the costs associated with records and information management resources (materials, personnel, space, systems, etc.)
knowledge of cost analysis and interpretation methods
knowledge of methods of resource allocation
knowledge of standards, measures and methods for evaluating personnel
knowledge of alternative management structures and their implications for the operation of the records and information management program
state-of-the-art knowledge of library research and practice in records and information management
knowledge of the various projects and key personnel within the organization
knowledge of the operations of other information units in the organization and how they relate to records and information management

SKILLS

RECORDS & INFORMATION MANAGER — ENTRY LEVEL

Basic Skills

literacy, numeracy, cognitive, analytical, communications, etc.

Skills Related to Specific Activities

Ability to:

- perform each activity
- establish rapport with users and colleagues
- function as a leader and motivator
- communicate well by written, verbal and non-verbal means
- conduct an interview
- conduct meetings with individuals and groups
- collect, analyze and interpret data
- make decisions and recommendations based on available information
- supervise staff
- work independently and in groups
- develop criteria for evaluation
- make effective, timely, and well-informed decisions
- isolate and define problems and develop the necessary criteria and action for their solution
- manage time effectively

RECORDS & INFORMATION MANAGER — MID/SENIOR LEVEL

Skills Related to Each Specific Activity

Skills listed above are developed to a greater extent

Ability to:

- perceive the needs of the organization and not just those of the records and information management program
- anticipate long-range needs of the program
- design systems and procedures to improve program operations
- arbitrate and negotiate
- apply methods of measurement and evaluation
- budget and make projections
- optimize the use of available resources

ATTITUDES

RECORDS & INFORMATION MANAGER

Dispositional Attitudes

Attitudes Toward Institutions

Respect for the profession
Respect for the records and information management program
Respect for the parent organization

Attitudes Toward Other People

Toward Users

Respect users
Like people in general
Like to help people
Like to meet people
Like to make others feel comfortable
Sensitive to others' needs

Toward Others in the Workplace

Respect co-workers
Like to work with others/as a team
Like to work on own
Willingness to draw upon and share knowledge and experience with others
Supportive of co-workers
Enjoy managing/supervising others

Personal Qualities

Alertness
Assertiveness
Compassion/Kindness
Confidence
Cheerfulness
Dependability
Determination/Tenacity
Diplomacy
Emotional stability
Fairness
Flexability/Versatility
Imagination
Inquisitiveness
Leadership ability
Neatness
Need for achievement

RECORDS & INFORMATION MANAGER

Personal Qualities (cont'd)

Objectivity
Open-mindedness
Optimism/Positive attitude
Organization
Patience
Physical endurance
Resourceful
Sensitive/Thoughtful
Sense of humor
Sense of ethics
Tolerance

Attitudes Related to Job/Work/Organization

Individual should demonstrate:

Willingness to take/accept responsibility
Willingness to take initiative
Willingess to respond to authority, apply and follow policy
Realization that there is no single "right" way to achieve the goals of the section/organization
Desire to learn/try
Willingness to fail
Willingness to ask questions
Desire to work to best of ability
Responsiveness to time constraints
Accuracy
Willingness to get hands dirty
Attention to detail
Willingness to do clerical tasks
Desire to follow-through
Service orientation
Organizational identity
Willingness to promote the Records and Information Management program and its services
View of the program as part of a larger information environment
View of the program as an organizational unit
Ability to see broad picture
Ability to sacrifice short-term gains for long-term goals
Political sense
Curiosity
Variety of interests
Desire to grow personally
Desire to grow professionally
Desire to remain current in specific and general subject field
Positive attitude toward job